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Receipt

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: SCOTT C. JOHNSON ET AL.

Filed: NOVEMBER 2, 2001

For: SYSTEMS AND METHODS FOR INTELLIGENT  
INFORMATION RETRIEVAL AND DELIVERY IN AN  
INFORMATION MANAGEMENT ENVIRONMENT

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AUG 05 2002

Technology Center 2100

Serial No.: 10/003,728

Group Art Unit: 2152

Examiner: UNKNOWN

Atty Docket No.: SURG:161

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ORIGINALLY FILED

Pursuant to 37 C.F.R. 1.8, I certify that this correspondence is being deposited with the U.S. Postal Service in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on the date below:

7-11-02  
Date

Marty Bauer  
Name

Assistant Commissioner For Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

REQUEST FOR CORRECTED FILING RECEIPT

Sir:

A corrected filing receipt is hereby requested in view of the error which appears in the original.

In the Domestic Priority Data, please make the following corrections:

Before "THIS APPLN CLAIMS BENEFIT OF 60/285,211 01/20/2001", please insert:

--THIS APPLN IS A CIP OF 09/947,869 09/06/2001  
AND IS ALSO A CIP OF 09/879,810 06/12/2001--

Please replace "THIS APPLN" with --AND ALSO-- before "CLAIMS BENEFIT OF 60/285,211 04/20/2001"

After "AND CLAIMS BENEFIT OF 60/291,073 05/15/2001", please insert:

--THIS APPLICATION IS ALSO A CIP OF 09/797,198 03/01/2001  
AND IS ALSO A CIP OF 09/797,201 03/01/2001--

After "AND CLAIMS BENEFIT OF 60/246,359 11/07/2000", please insert:

--THIS APPLICATION IS ALSO A CIP OF 09/797,200 03/01/2001--

Please replace "AND" with --WHICH-- before "CLAIMS BENEFIT OF 60/187,211 03/03/2000"

Please replace "AND" with --THIS APPLN ALSO-- before "CLAIMS BENEFIT OF 60/246,401 11/07/2000"

A copy of the original filing receipt is attached, with the requested change(s) indicated in red.

A copy of a preliminary amendment filed in the above-captioned application has been enclosed herewith.

No fee is believed to be due in connection with the filing of this document. However, should any fee under 37 C.F.R. §§1.16 to 1.21 be deemed necessary for any reason relating to this document, the commissioner is hereby authorized to deduct said fee from Deposit Account 10-1205.

Please date stamp and return the enclosed postcard evidencing receipt of these materials.

Respectfully submitted,



William W. Enders

Reg. No. 41,735

Attorney for Applicant

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## UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/003,728	11/02/2001	2152	1323	SURG:161	3	100	7

O'KEEFE, EGAN & PETERMAN, L.L.P.  
Building C, Suite 200  
1101 Capital of Texas Highway South  
Austin, TX 78746

CONFIRMATION NO. 2683

## UPDATED FILING RECEIPT



\*OC00000008218104\*

Date Mailed: 05/31/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

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AUG 05 2002

## Applicant(s)

Scott C. Johnson, Round Rock, TX;  
Chaoxin C. Qiu, Austin, TX;  
Roger K. Richter, Leander, TX;

Technology Center 2100

## Domestic Priority data as claimed by applicant

AND ALSO THIS APPLN CLAIMS BENEFIT OF 60/285,211 04/20/2001

AND CLAIMS BENEFIT OF 60/291,073 05/15/2001

AND CLAIMS BENEFIT OF 60/246,445 11/07/2000

AND CLAIMS BENEFIT OF 60/246,359 11/07/2000

which AND CLAIMS BENEFIT OF 60/187,211 03/03/2000

AND CLAIMS BENEFIT OF 60/246,401 11/07/2000

THIS APPLN IS A CIP OF 09/947,869 09/06/2001  
AND IS ALSO A CIP OF 09/879,810 06/12/2001THIS APPLN IS ALSO A CIP OF 09/797,198 03/01/2001  
AND IS ALSO A CIP OF 09/797,201 03/01/2001

THIS APPLN IS ALSO A CIP OF 09/797,200 03/01/2001

## Foreign Applications

If Required, Foreign Filing License Granted 12/19/2001

Projected Publication Date: 09/12/2002

Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*

**Title**

Systems and methods for intelligent information retrieval and delivery in an information management environment

**Preliminary Class**

709

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Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: SCOTT C. JOHNSON ET AL.

Filed: NOVEMBER 2, 2001

For: SYSTEMS AND METHODS FOR INTELLIGENT INFORMATION  
RETRIEVAL AND DELIVERY IN AN INFORMATION  
MANAGEMENT ENVIRONMENT

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Atty Docket No.: SURG:161

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Pursuant to 37 C.F.R. 1.8, I certify that this correspondence is being deposited with the U.S. Postal Service in a first class, postage prepaid envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on the date below:

7-11-02  
Date

Mary Bow  
Name

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

**PRELIMINARY AMENDMENT**

No fees are believed due in conjunction with this filing, however, should any additional fees under 37 CFR 1.16-1.21 be required for any reason, the Commissioner is authorized to deduct such fees from O'Keefe, Egan & Peterman Deposit Account No. 10-1205/SURG:161.

**I. AMENDMENT**

**In the Specification:**

Please amend the specification in the attached sheet (additions underlined, deletions bracketed). A clean version of the all of the specification is as follows.

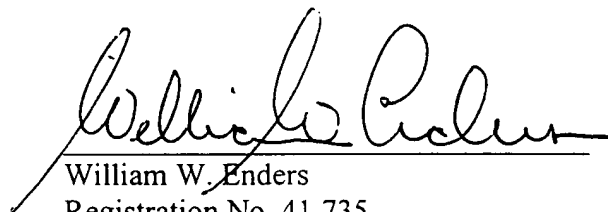
This application is a continuation-in-part of co-pending United States Patent Application Serial Number 09/947,869, filed on September 6, 2001, which is entitled SYSTEMS AND METHODS FOR RESOURCE MANAGEMENT IN INFORMATION STORAGE ENVIRONMENTS, the disclosure of which is incorporated herein by reference. This application is also a continuation-in-part of co-pending United States Patent Application Serial Number 09/879,810 filed on June 12, 2001 which is entitled "SYSTEMS AND METHODS FOR PROVIDING DIFFERENTIATED SERVICE IN INFORMATION MANAGEMENT ENVIRONMENTS," and also claims priority from co-pending Provisional Application Serial No. 60/285,211 filed on April 20, 2001 which is entitled "SYSTEMS AND METHODS FOR PROVIDING DIFFERENTIATED SERVICE IN A NETWORK ENVIRONMENT," and also claims priority from co-pending Provisional Application Serial No. 60/291,073 filed on May 15, 2001 which is entitled "SYSTEMS AND METHODS FOR PROVIDING DIFFERENTIATED SERVICE IN A NETWORK ENVIRONMENT," the disclosures of each of the forgoing applications being incorporated herein by reference. This application is also a continuation-in-part of co-pending United States Patent Application Serial No. 09/797,198 filed on March 1, 2001 which is entitled "SYSTEMS AND METHODS FOR MANAGEMENT OF MEMORY," and is also a continuation-in-part of co-pending United States Patent Application Serial No. 09/797,201 filed on March 1, 2001 which is entitled "SYSTEMS AND METHODS FOR MANAGEMENT OF MEMORY IN INFORMATION DELIVERY ENVIRONMENTS," and also claims priority from co-pending Provisional Application Serial No. 60/246,445 filed on November 7, 2000 which is entitled "SYSTEMS AND METHODS FOR PROVIDING EFFICIENT USE OF MEMORY FOR NETWORK SYSTEMS," and also claims priority from co-pending Provisional Application Serial No. 60/246,359 filed on November 7, 2000 which is entitled "CACHING ALGORITHM FOR MULTIMEDIA SERVERS," the disclosures of each of the forgoing applications being incorporated herein by reference. This application is also a continuation-in-part of co-pending United States Patent Application Serial Number 09/797,200 filed on March 1, 2001 which is entitled "SYSTEMS AND METHODS FOR THE DETERMINISTIC MANAGEMENT OF INFORMATION" which itself claims priority from Provisional Application Serial No. 60/187,211 filed on March 3, 2000 which is entitled "SYSTEM AND APPARATUS FOR INCREASING FILE SERVER BANDWIDTH," the disclosures of each of the forgoing applications being incorporated herein by reference. This

application also claims priority from co-pending Provisional Application Serial No. 60/246,401 filed on November 7, 2000 which is entitled "SYSTEM AND METHOD FOR THE DETERMINISTIC DELIVERY OF DATA AND SERVICES," the disclosure of which is incorporated herein by reference.

## II. REMARKS

The examiner is invited to contact the undersigned at the phone number indicated below with any questions or comments, or to otherwise facilitate expeditious and compact prosecution of the application.

Respectfully submitted,



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## AMENDMENTS TO THE SPECIFICATION

This application is [claims priority from] a continuation-in-part of co-pending United States Patent Application Serial Number 09/947,869, filed on September 6, 2001, which is entitled SYSTEMS AND METHODS FOR RESOURCE MANAGEMENT IN INFORMATION STORAGE ENVIRONMENTS, the disclosure of which is incorporated herein by reference. This application is also [claims priority from] a continuation-in-part of co-pending United States Patent Application Serial Number 09/879,810 filed on June 12, 2001 which is entitled "SYSTEMS AND METHODS FOR PROVIDING DIFFERENTIATED SERVICE IN INFORMATION MANAGEMENT ENVIRONMENTS," and also claims priority from co-pending Provisional Application Serial No. 60/285,211 filed on April 20, 2001 which is entitled "SYSTEMS AND METHODS FOR PROVIDING DIFFERENTIATED SERVICE IN A NETWORK ENVIRONMENT," and also claims priority from co-pending Provisional Application Serial No. 60/291,073 filed on May 15, 2001 which is entitled "SYSTEMS AND METHODS FOR PROVIDING DIFFERENTIATED SERVICE IN A NETWORK ENVIRONMENT," the disclosures of each of the forgoing applications being incorporated herein by reference. This application is also [claims priority from] a continuation-in-part of co-pending United States Patent Application Serial No. 09/797,198 filed on March 1, 2001 which is entitled "SYSTEMS AND METHODS FOR MANAGEMENT OF MEMORY," and is also [claims priority from] a continuation-in-part of co-pending United States Patent Application Serial No. 09/797,201 filed on March 1, 2001 which is entitled "SYSTEMS AND METHODS FOR MANAGEMENT OF MEMORY IN INFORMATION DELIVERY ENVIRONMENTS," and also claims priority from co-pending Provisional Application Serial No. 60/246,445 filed on November 7, 2000 which is entitled "SYSTEMS AND METHODS FOR PROVIDING EFFICIENT USE OF MEMORY FOR NETWORK SYSTEMS," and also claims priority from co-pending Provisional Application Serial No. 60/246,359 filed on November 7, 2000 which is entitled "CACHING ALGORITHM FOR MULTIMEDIA SERVERS," the disclosures of each of the forgoing applications being incorporated herein by reference. This application is also [claims priority from] a continuation-in-part of co-pending United States Patent Application Serial Number 09/797,200 filed on March 1, 2001 which is entitled "SYSTEMS AND METHODS FOR THE DETERMINISTIC MANAGEMENT OF INFORMATION" which itself claims priority from Provisional Application Serial No. 60/187,211 filed on March 3, 2000

which is entitled "SYSTEM AND APPARATUS FOR INCREASING FILE SERVER BANDWIDTH," the disclosures of each of the forgoing applications being incorporated herein by reference. This application also claims priority from co-pending Provisional Application Serial No. 60/246,401 filed on November 7, 2000 which is entitled "SYSTEM AND METHOD FOR THE DETERMINISTIC DELIVERY OF DATA AND SERVICES," the disclosure of which is incorporated herein by reference.